

CERN-EP-2016-313  
2017/08/16

CMS-FSQ-16-002

# Measurement of the inclusive energy spectrum in the very forward direction in proton-proton collisions at $\sqrt{s} = 13$ TeV

The CMS Collaboration\*

## Abstract

The differential cross section for inclusive particle production as a function of energy in proton-proton collisions at a center-of-mass energy of 13 TeV is measured in the very forward region of the CMS detector. The measurement is based on data collected with the CMS apparatus at the LHC, and corresponds to an integrated luminosity of  $0.34 \mu\text{b}^{-1}$ . The energy is measured in the CASTOR calorimeter, which covers the pseudorapidity region  $-6.6 < \eta < -5.2$ . The results are given as a function of the total energy deposited in CASTOR, as well as of its electromagnetic and hadronic components. The spectra are sensitive to the modeling of multiparton interactions in pp collisions, and provide new constraints for hadronic interaction models used in collider and in high energy cosmic ray physics.

*Published in the Journal of High Energy Physics as doi:10.1007/JHEP08(2017)046.*



## 1 Introduction

Particle production at very forward rapidities ( $|\eta| > 5$ ) in high energy hadronic collisions receives contributions from multiparton interactions (MPI), initial- and final-state radiation (from the hardest parton scattering), fragmentation of the so-called “beam remnants”, plus diffraction [1]. The sum of all these particle production mechanisms, typically referred to as the “underlying event” [2], is modeled phenomenologically in hadronic Monte Carlo event generators with parameters tuned from the data [3–5]. A good understanding of forward particle production is important for a complete description of the final states in proton-proton (pp) interactions at colliders, as well as to accurately simulate extensive air showers induced in the earth atmosphere by very high energy cosmic rays [6]. In particular, forward charged hadron production has direct impact on the total number of air-shower muons at the ground, whose measurement shows unexplained excesses compared to model predictions [7]. The rapidities covered in the presented measurement ( $-6.6 < \eta < -5.2$ , still well separated from the beam rapidity  $y \approx 9.5$ ) are mostly sensitive to the MPI activity [8].

Previous studies of very forward particle production in pp collisions have been carried out at center-of-mass energies of 0.9, 2.76, 7 and 8 TeV by CMS [8, 9], at 7 and 8 TeV by TOTEM [9–11], and at 7 TeV by LHCf [12, 13]. The present paper reports new measurements of inclusive energy spectra at a center-of-mass energy of 13 TeV. The data are discussed in terms of the production of electrons and photons (mostly from  $\pi^0$  decays), as well as hadrons (mostly  $\pi^\pm$ ) in the very forward direction covered by the CASTOR calorimeter of the CMS experiment at the CERN LHC. CASTOR [14] covers the pseudorapidity region  $-6.6 < \eta < -5.2$ , and can distinguish between electromagnetic and hadronic energy depositions. CASTOR is only installed on the negative  $z$ -side of CMS, and hence has acceptance at negative pseudorapidities. Because of CASTOR’s very forward location, the data are sensitive to parton interactions at very small and large fractional momenta in the proton,  $x < 10^{-4}$  and  $x \rightarrow 1$ .

## 2 Experimental setup and Monte Carlo simulation

The central feature of the CMS apparatus is a superconducting solenoid of 6 m internal diameter, providing a magnetic field of 3.8 T [15]. Within the field volume in the central region are a silicon pixel and strip tracker, a lead tungstate crystal electromagnetic calorimeter, and a brass and scintillator hadron calorimeter. Muons are measured in gas-ionization detectors embedded in the steel return yoke.

The central detectors of CMS are complemented by calorimeters in the forward direction, which all rely on the detection of Cherenkov photons produced when charged particles pass through their active quartz components. The “hadron forward” (HF) calorimeters cover the pseudorapidity interval  $3.0 < |\eta| < 5.2$  and use quartz fibers embedded in a steel absorber. The CASTOR calorimeter is a sampling calorimeter composed of layers of fused silica quartz plates and tungsten absorbers, segmented in 16 azimuthal towers, each with 14 longitudinal channels. The two front channels have a combined depth of 20 radiation lengths and form the electromagnetic section of each tower. The remaining 12 channels constitute the hadronic section. The full depth of a tower amounts to 10 hadronic interaction lengths. A more detailed description of the CMS detector, together with a definition of the coordinate system used and all relevant kinematic variables, can be found in Ref. [15]. For triggering purposes, the Beam Pickup Timing for the eXperiment device was used [16].

The corrections to the level of stable particles with  $c\tau > 1$  cm are determined by means of a Monte Carlo (MC) simulation of the CMS apparatus based on GEANT4 [17], including all

known information about the CASTOR detector.

The data are compared to model predictions from PYTHIA 8 [18] (version 8.212) with tune CUETP8M1 [19], which is based on measurements of the underlying event in  $p\bar{p}$  and  $pp$  collisions at  $\sqrt{s} = 1.96$  and 7 TeV, and tune 4C [4] combined with the MBR [20] model to describe diffractive processes. The PYTHIA 8 CUETP8M1 tunes use the NNPDF2.3LO [21] parton distribution functions (PDF), whereas tune 4C uses the CTEQ6L1 PDF [22]. Hadronic interaction event generators mostly developed for cosmic ray physics are also used: EPOS LHC [23] and its previous version EPOS 1.99 [24], QGSJETII [25] version II.3 and II.4, as well as SIBYLL 2.1 [26] and the recently released SIBYLL 2.3 [27]. The latest versions of all these models are tuned to LHC data up to  $\sqrt{s} = 8$  TeV, while the earlier versions are tuned to Tevatron results [28].

### 3 Event selection and data analysis

The present analysis is based on data that were recorded during the low luminosity LHC Run in 2015, when CASTOR was operational and the CMS solenoid was off. The data correspond to an integrated luminosity of  $0.34 \mu\text{b}^{-1}$ , with an average  $pp$  interaction probability of 5% per bunch crossing. Data were recorded with an unbiased trigger requiring only the presence of two colliding bunches. Electronic noise and beam-induced backgrounds are studied with data taken without colliding bunches. Events are selected offline by requiring hadronic activity in the HF calorimeters on either side of CMS. At least one reconstructed calorimeter tower with energy larger than 5 GeV is required. With these selection criteria the residual contribution of electronic noise and beam background is well below 1%.

Beam halo muons are used to determine the calibration of each CASTOR channel relative to the others. This inter-calibration procedure cannot be applied to the last two longitudinal channels, which have detector noise levels very close to the muon ionization peak and are not included in the dedicated halo-muon trigger. These channels are therefore excluded from the analysis.

The response of CASTOR to pions and electrons was measured in a test beam in 2008 [29]. However, the configuration of CASTOR changed since then. Because of this, an independent method based on 7 TeV collision data is used to determine the absolute energy scale calibration of CASTOR. The average energy measured by the HF calorimeters in the region  $3 < |\eta| < 5$  is fully corrected to the particle level [30] and extrapolated to the region covered by CASTOR, using various hadronic interaction models. The result of the extrapolation is used to calibrate CASTOR. The detector response is found to be consistent with the test beam results. Such a data-driven method facilitates the assignment of a realistic uncertainty on the calorimeters energy scale.

In order to reconstruct the total energy deposited in CASTOR, the energies of all calorimeter towers above the noise threshold are summed up. This threshold is determined independently for every calorimeter tower and varies between 2 and 2.5 GeV. The electromagnetic and hadronic contributions to the total energy can be determined by using the corresponding sections of CASTOR. The measured detector-level spectra are shown in Fig. 1. Differences among model predictions are apparent.

The correction to the particle level is carried out through an unfolding technique by means of the ROOUNFOLD package [31] with the iterative algorithm proposed by D'Agostini [32]. The procedure is stopped after 4 (6, 5) iterations for the total (electromagnetic, hadronic) spectrum, when the change with respect to the previous step is less than one percent. Figure 2 shows the distributions of reconstructed energy in CASTOR as a function of the true energy at particle

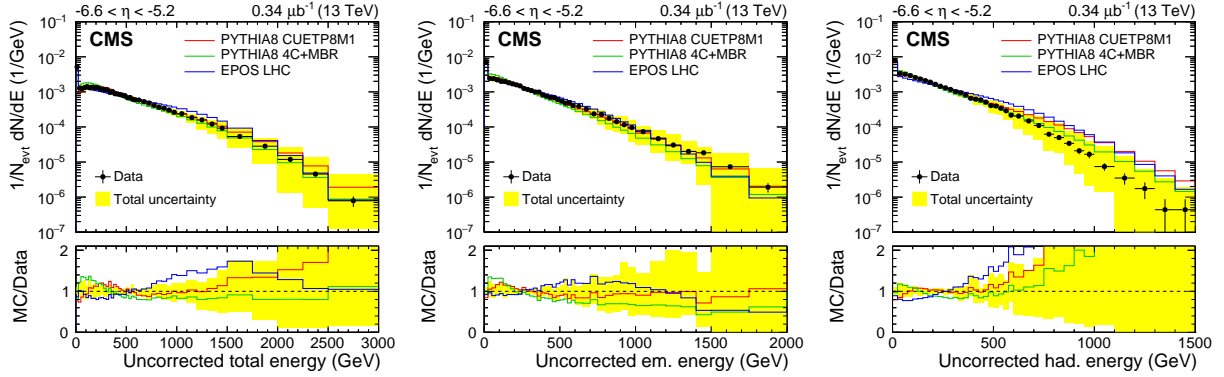


Figure 1: Spectra of the energy reconstructed in CASTOR, normalized to the number of events that pass the offline event selection, compared to the detector-level predictions of various event generators. The total energy spectrum is shown in the left panel, the electromagnetic in the middle, and the hadronic in the right. Statistical (systematic) uncertainties are shown with error bars (yellow band, discussed in Section 4).

level for PYTHIA 8 CUETP8M1. The fact that the slope of the correlation for the hadronic energy is not unity reflects the noncompensating nature of the calorimeter.

The event selection at particle level is based on the Lorentz-invariant fractional momentum loss of the proton,  $\xi$ . All final-state particles are divided into two systems, X and Y, based on their rapidity with respect to the pair of particles with the largest separation in rapidity. All particles on the negative side of this gap are assigned to the system X, while the particles on the positive side are assigned to the system Y [8]. The invariant masses,  $M_X$  and  $M_Y$ , of each system are calculated using the four-momenta of the individual particles, and the variable  $\xi$  is defined as the maximum of their squared ratios to the center-of-mass energy:

$$\begin{aligned} \xi_X &= M_X^2/s, \quad \xi_Y = M_Y^2/s, \quad \text{and} \\ \xi &= \max(\xi_X, \xi_Y). \end{aligned} \quad (1)$$

The variable  $\xi$ , commonly used to describe diffractive processes, is well defined for any pp final-state and provides a particularly economical particle-level description of the phase space acceptance at forward rapidities, independent of the underlying particle production mechanism. Events with  $\xi > 10^{-6}$  at particle level are selected, with an efficiency of about 97.3% and a purity of about 99.5% with respect to the detector-level event selection. The total energy at particle level is calculated by summing up the energies of all particles, except muons and neutrinos, within the acceptance of CASTOR. Muons and neutrinos are excluded since they do not deposit relevant energies in the detector. For the electromagnetic spectrum, only electrons and photons are used; the latter are excluded for the hadronic energy spectrum. The decay photons of neutral pions constitute the dominant contribution to the electromagnetic spectrum.

## 4 Experimental uncertainties and results

The experimental uncertainties of the present results are mainly of systematic nature, with the CASTOR energy scale uncertainty being the most significant contribution. In the data-driven calibration method, uncertainties on the energy scale arise from the HF energy scale uncertainty, the extrapolation uncertainty, and the noncompensating calorimetric response of CASTOR. Furthermore, the energy measured by CASTOR depends on its exact location with respect to the interaction point. This is because the energy flow  $dE/d\eta$  rises sharply with  $\eta$

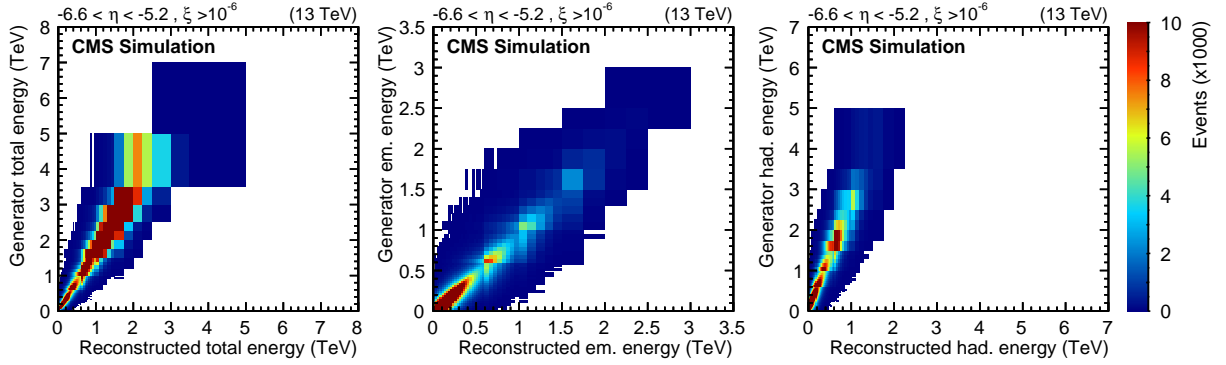


Figure 2: Distributions of reconstructed energy as a function of the particle-level energy for PYTHIA 8 CUETP8M1 for the total (left), electromagnetic (middle), and hadronic (right) energy in CASTOR. The color indicates the number of events. The selection  $\zeta > 10^{-6}$  is explained in the text.

in the very forward region. For the present data, the position of CASTOR is known to within 1 mm, leading to a 7.5% energy scale uncertainty. This is determined by means of Monte Carlo studies in which CASTOR is moved within the measurement uncertainties. All contributions to the energy scale uncertainty add up to 17% at detector level.

An additional systematic uncertainty comes from the inter-calibration of the channels with respect to each other. This affects the separation of the electromagnetic and hadronic energies by up to 16%.

The sensitivity of the result to the event selection based on activity in HF is quantified by varying by 10% the 5 GeV selection threshold, which corresponds to the energy scale uncertainty of the HF calorimeters. The effect is below 6.2% for the total energy, and less for the electromagnetic and hadronic energies. Other sources of uncertainties, such as noise, beam background, or pileup are found to be negligible.

The detector-level spectra are varied within each of the above uncertainties, and then unfolded. The spread of the unfolded spectra is then taken as a measure of the systematic uncertainty associated to each distribution. Since the unfolding relies on Monte Carlo simulation, three models are used to unfold the detector-level spectra: PYTHIA 8 4C+MBR, PYTHIA 8 CUETP8M1, and EPOS LHC. The average of the resulting spectra is used as the nominal result and half their spread as an additional model-dependent systematic uncertainty. This uncertainty is below 20% for the total and electromagnetic spectra. The model dependence for the hadronic energy is higher and reaches 63% in some energy bins. These uncertainties increase with energy. The luminosity recorded by CMS is determined with a precision of 2.3% for data taken with full magnetic field [33]. The luminosity at zero magnetic field can be recalibrated by comparing full and zero field data directly; the corresponding uncertainty is 2.6%.

All contributions to the systematic uncertainties are added in quadrature. Example values are given for two bins of total, hadronic, and electromagnetic energies in Table 1. The statistical uncertainties are calculated with the full covariance matrices of the unfolded results and therefore include correlations induced by the unfolding procedure. The full covariance matrices are available in the HEPDATA record of this paper; the differential cross section measurements with uncertainties are also tabulated therein [34]. In the figures, the total uncertainties are shown as yellow bands; they include the statistical uncertainties, which in most bins are not visible. The uncertainty assigned to the model dependence of the unfolding procedure is shown as an orange band.

Table 1: Uncertainties on the differential cross sections at a few selected values of the total, electromagnetic, and hadronic energies.

	Total		Electromagnetic		Hadronic	
	300 GeV	3000 GeV	300 GeV	1200 GeV	300 GeV	2000 GeV
Energy Scale	+17 % −14 %	+94 % −77 %	+5.9 % −2.1 %	+93 % −65 %	+11 % −10 %	+169 % −80 %
Unfolding	±5.8%	±6.4%	±5.2%	±4.1%	±6.9%	±17%
Event selection	±0.5%	<0.01%	±0.14%	<0.01%	±0.06%	<0.01%
Luminosity	±2.6%					
Statistical	±1.2%	±4.3%	±1.5%	±5.9%	±1.0%	±4.2%

The total, electromagnetic, and hadronic energy spectra are measured in the region  $-6.6 < \eta < -5.2$  and corrected to the particle level for  $\xi > 10^{-6}$ . They are shown in Figs. 3–5 and compared to the predictions of EPOS, QGSJETII and SIBYLL (left plots) and various PYTHIA 8 tunes (right plots). All spectra feature a sharp peak at zero reflecting the presence of diffractive events with forward rapidity gap(s). The total and hadronic energy spectra exhibit peaks at about 300 and 100 GeV respectively, followed by a long tail towards higher energies. Such a peak is not observed in the electromagnetic spectrum.

In Fig. 3, the distribution of the total energy is shown. Different parts of the spectrum are reproduced by different models. None of the models reproduce all features of the data, but the bump at about 300 GeV is visible in all of them. The spectrum is best described by EPOS LHC and QGSJETII.4. The PYTHIA 8 tunes tend to overestimate the contribution of the soft part of the spectrum and so does SIBYLL 2.3. The high energy tail is well described by PYTHIA 8 and SIBYLL, whereas EPOS LHC and QGSJETII.4 overestimate the region between 1 and 2.5 TeV. The predictions are also very sensitive to the scaling parameter  $p_{T,0}^{\text{ref}}$  of PYTHIA 8, which parameterizes the dampening of the partonic cross sections for  $p_T \rightarrow 0$  at the nominal reference energy of 7 TeV [18]. Large deviations from the CUETP8M1  $p_{T,0}^{\text{ref}}$  default value of 2.4024 GeV modify the simulation of MPI and lead to predictions inconsistent with the data; the PDF choice (NNPDF2.3 in CUETP8M1 versus CTEQ6L1 in 4C) and/or the diffraction model used (MBR or default PYTHIA 8 model) also play a role in some regions of phase space.

The electromagnetic spectrum is shown in Fig. 4; it is relatively well described by most of the models within uncertainties. Only PYTHIA 8 4C+MBR and SIBYLL 2.3 do not correctly model the shape of the soft part of the spectrum up to about 500 GeV. The comparison of the data to the predictions of various PYTHIA 8 tunes indicates that the electromagnetic energy distribution is also very sensitive to the underlying modeling of MPI.

Figure 5 shows the hadronic energy distribution. While EPOS LHC and QGSJETII perform well at lower energies, they predict too large a cross section in the range of 600 to 1800 GeV. This feature is also observed in the total energy spectrum, suggesting that the excess originates from the production of hadrons. SIBYLL 2.3 reproduces the slope of the spectrum over a larger energy range, but significantly overestimates the cross section at very low energy, while SIBYLL 2.1 shows a large excess at around 500 GeV, similar to that observed in the total energy spectrum.

## 5 Summary

The electromagnetic, hadronic, and total energy spectra of particles produced at very forward pseudorapidities ( $-6.6 < \eta < -5.2$ ) have been measured with the CASTOR calorimeter of the CMS experiment in proton-proton collisions at a center-of-mass energy of 13 TeV. The ex-

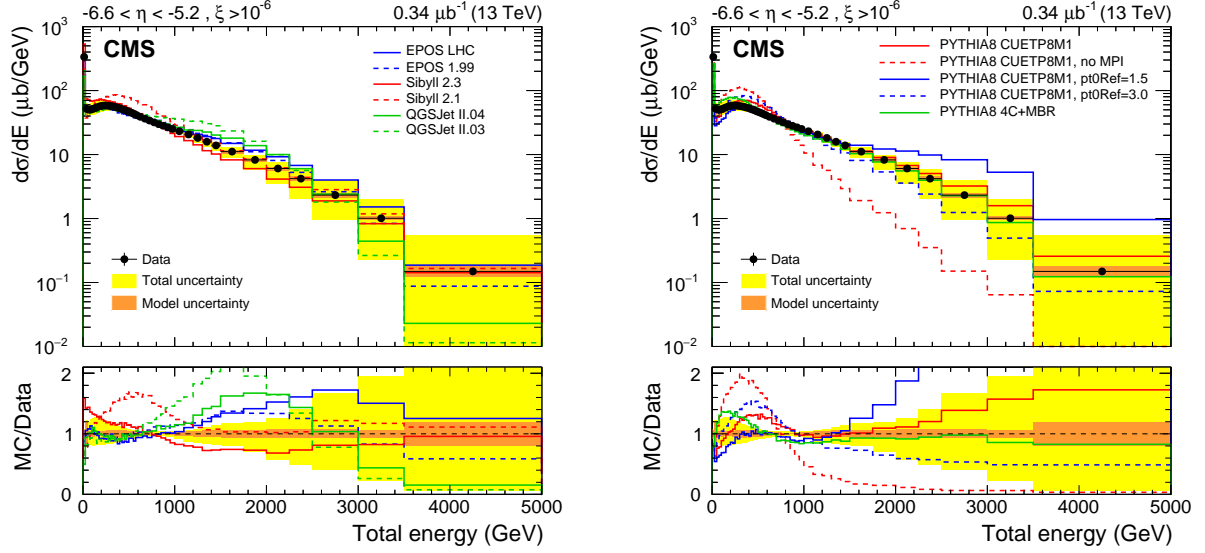


Figure 3: Differential cross section as a function of the total energy in the region  $-6.6 < \eta < -5.2$  for events with  $\xi > 10^{-6}$ . The left panel shows the data compared to MC event generators mostly developed for cosmic ray induced air showers, and the right panel to different PYTHIA 8 tunes.

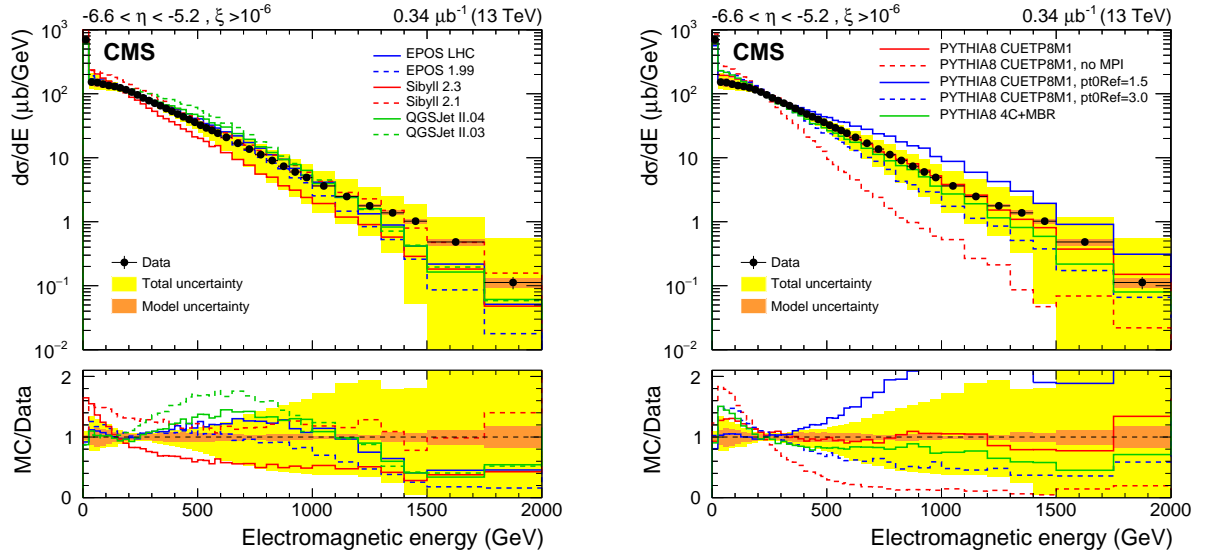


Figure 4: Differential cross section as a function of the electromagnetic energy in the region  $-6.6 < \eta < -5.2$  for events with  $\xi > 10^{-6}$ . The left panel shows the data compared to MC event generators mostly developed for cosmic ray induced air showers, and the right panel to different PYTHIA 8 tunes.



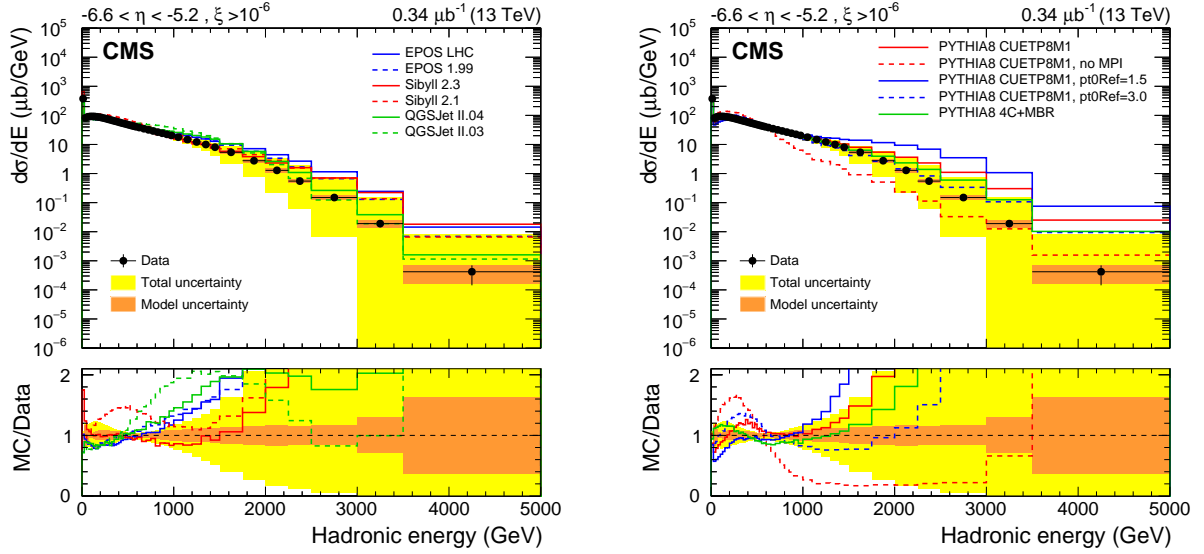


Figure 5: Differential cross section as a function of the hadronic energy in the region  $-6.6 < \eta < -5.2$  for events with  $\xi > 10^{-6}$ . The left panel shows the data compared to MC event generators mostly developed for cosmic ray induced air showers, and the right panel to different PYTHIA 8 tunes.

perimental distributions, fully corrected for detector effects, are compared to the predictions of various Monte Carlo event generators commonly used in high energy cosmic ray physics (EPOS, QGSJETII, and SIBYLL), and those of different tunes of PYTHIA 8. None of the generators considered describe all features seen in the data.

The present measurements are particularly sensitive to the modeling of multiparton interactions (MPI) that dominate particle production in the underlying event at forward rapidities in pp collisions. PYTHIA 8 CUETP8M1 without MPI is ruled out by the data, which exhibit much harder spectra than predicted by the model. The shape of the spectra are significantly influenced by the MPI-related settings in PYTHIA 8. The present results can therefore contribute to improvements in future Monte Carlo parameter tunes.

Event generators developed for modeling high energy cosmic ray air showers, tuned to LHC measurements at 0.9, 7, and 8 TeV, agree better with the present data than those tuned to Tevatron results alone. This is especially true for QGSJETII and SIBYLL. However, all these models underestimate the muon production rate in extensive air showers because of their inaccurate description of the hadronic shower component [35]. The present results provide new constraints for improving the modeling of hadron production in event generators commonly used in high energy particle and cosmic ray physics.

## Acknowledgments

We congratulate our colleagues in the CERN accelerator departments for the excellent performance of the LHC and thank the technical and administrative staffs at CERN and at other CMS institutes for their contributions to the success of the CMS effort. In addition, we gratefully acknowledge the computing centers and personnel of the Worldwide LHC Computing Grid for delivering so effectively the computing infrastructure essential to our analyses. Finally, we acknowledge the enduring support for the construction and operation of the LHC and the CMS detector provided by the following funding agencies: BMWFW and FWF (Aus-

tria); FNRS and FWO (Belgium); CNPq, CAPES, FAPERJ, and FAPESP (Brazil); MES (Bulgaria); CERN; CAS, MoST, and NSFC (China); COLCIENCIAS (Colombia); MSES and CSF (Croatia); RPF (Cyprus); SENESCYT (Ecuador); MoER, ERC IUT, and ERDF (Estonia); Academy of Finland, MEC, and HIP (Finland); CEA and CNRS/IN2P3 (France); BMBF, DFG, and HGF (Germany); GSRT (Greece); OTKA and NIH (Hungary); DAE and DST (India); IPM (Iran); SFI (Ireland); INFN (Italy); MSIP and NRF (Republic of Korea); LAS (Lithuania); MOE and UM (Malaysia); BUAP, CINVESTAV, CONACYT, LNS, SEP, and UASLP-FAI (Mexico); MBIE (New Zealand); PAEC (Pakistan); MSHE and NSC (Poland); FCT (Portugal); JINR (Dubna); MON, RosAtom, RAS, RFBR and RAEP (Russia); MESTD (Serbia); SEIDI, CPAN, PCTI and FEDER (Spain); Swiss Funding Agencies (Switzerland); MST (Taipei); ThEPCenter, IPST, STAR, and NSTDA (Thailand); TUBITAK and TAEK (Turkey); NASU and SFFR (Ukraine); STFC (United Kingdom); DOE and NSF (USA).

Individuals have received support from the Marie-Curie program and the European Research Council and EPLANET (European Union); the Leventis Foundation; the A. P. Sloan Foundation; the Alexander von Humboldt Foundation; the Belgian Federal Science Policy Office; the Fonds pour la Formation à la Recherche dans l'Industrie et dans l'Agriculture (FRIA-Belgium); the Agentschap voor Innovatie door Wetenschap en Technologie (IWT-Belgium); the Ministry of Education, Youth and Sports (MEYS) of the Czech Republic; the Council of Science and Industrial Research, India; the HOMING PLUS program of the Foundation for Polish Science, cofinanced from European Union, Regional Development Fund, the Mobility Plus program of the Ministry of Science and Higher Education, the National Science Center (Poland), contracts Harmonia 2014/14/M/ST2/00428, Opus 2014/13/B/ST2/02543, 2014/15/B/ST2/03998, and 2015/19/B/ST2/02861, Sonata-bis 2012/07/E/ST2/01406; the National Priorities Research Program by Qatar National Research Fund; the Programa Clarín-COFUND del Principado de Asturias; the Thalís and Aristeia programs cofinanced by EU-ESF and the Greek NSRF; the Rachadapisek Sompot Fund for Postdoctoral Fellowship, Chulalongkorn University and the Chulalongkorn Academic into Its 2nd Century Project Advancement Project (Thailand); and the Welch Foundation, contract C-1845.

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## A The CMS Collaboration

### Yerevan Physics Institute, Yerevan, Armenia

A.M. Sirunyan, A. Tumasyan

### Institut für Hochenergiephysik, Wien, Austria

W. Adam, E. Asilar, T. Bergauer, J. Brandstetter, E. Brondolin, M. Dragicevic, J. Erö, M. Flechl, M. Friedl, R. Frühwirth<sup>1</sup>, V.M. Ghete, C. Hartl, N. Hörmann, J. Hrubec, M. Jeitler<sup>1</sup>, A. König, I. Krätschmer, D. Liko, T. Matsushita, I. Mikulec, D. Rabadý, N. Rad, B. Rahbaran, H. Rohringer, J. Schieck<sup>1</sup>, J. Strauss, W. Waltenberger, C.-E. Wulz<sup>1</sup>

### Institute for Nuclear Problems, Minsk, Belarus

O. Dvornikov, V. Makarenko, V. Mossolov, J. Suarez Gonzalez, V. Zykunov

### National Centre for Particle and High Energy Physics, Minsk, Belarus

N. Shumeiko

### Universiteit Antwerpen, Antwerpen, Belgium

S. Alderweireldt, E.A. De Wolf, X. Janssen, J. Lauwers, M. Van De Klundert, H. Van Haevermaet, P. Van Mechelen, N. Van Remortel, A. Van Spilbeeck

### Vrije Universiteit Brussel, Brussel, Belgium

S. Abu Zeid, F. Blekman, J. D'Hondt, N. Daci, I. De Bruyn, K. Deroover, S. Lowette, S. Moortgat, L. Moreels, A. Olbrechts, Q. Python, K. Skovpen, S. Tavernier, W. Van Doninck, P. Van Mulders, I. Van Parijs

### Université Libre de Bruxelles, Bruxelles, Belgium

H. Brun, B. Clerbaux, G. De Lentdecker, H. Delannoy, G. Fasanella, L. Favart, R. Goldouzian, A. Grebenyuk, G. Karapostoli, T. Lenzi, A. Léonard, J. Luetic, T. Maerschalk, A. Marinov, A. Randle-conde, T. Seva, C. Vander Velde, P. Vanlaer, D. Vannerom, R. Yonamine, F. Zenoni, F. Zhang<sup>2</sup>

### Ghent University, Ghent, Belgium

A. Cimmino, T. Cornelis, D. Dobur, A. Fagot, M. Gul, I. Khvastunov, D. Poyraz, S. Salva, R. Schöfbeck, M. Tytgat, W. Van Driessche, E. Yazgan, N. Zaganidis

### Université Catholique de Louvain, Louvain-la-Neuve, Belgium

H. Bakhshiansohi, C. Beluffi<sup>3</sup>, O. Bondu, S. Brochet, G. Bruno, A. Caudron, S. De Visscher, C. Delaere, M. Delcourt, B. Francois, A. Giammanco, A. Jafari, M. Komm, G. Krintiras, V. Lemaitre, A. Magitteri, A. Mertens, M. Musich, K. Piotrkowski, L. Quertenmont, M. Selvaggi, M. Vidal Marono, S. Wertz

### Université de Mons, Mons, Belgium

N. Beliy

### Centro Brasileiro de Pesquisas Fisicas, Rio de Janeiro, Brazil

W.L. Aldá Júnior, F.L. Alves, G.A. Alves, L. Brito, C. Hensel, A. Moraes, M.E. Pol, P. Rebello Teles

### Universidade do Estado do Rio de Janeiro, Rio de Janeiro, Brazil

E. Belchior Batista Das Chagas, W. Carvalho, J. Chinellato<sup>4</sup>, A. Custódio, E.M. Da Costa, G.G. Da Silveira<sup>5</sup>, D. De Jesus Damiao, C. De Oliveira Martins, S. Fonseca De Souza, L.M. Huertas Guativa, H. Malbouisson, D. Matos Figueiredo, C. Mora Herrera, L. Mundim, H. Nogima, W.L. Prado Da Silva, A. Santoro, A. Sznajder, E.J. Tonelli Manganote<sup>4</sup>, F. Torres Da Silva De Araujo, A. Vilela Pereira

**Universidade Estadual Paulista <sup>a</sup>, Universidade Federal do ABC <sup>b</sup>, São Paulo, Brazil**

S. Ahuja<sup>a</sup>, C.A. Bernardes<sup>a</sup>, S. Dogra<sup>a</sup>, T.R. Fernandez Perez Tomei<sup>a</sup>, E.M. Gregores<sup>b</sup>, P.G. Mercadante<sup>b</sup>, C.S. Moon<sup>a</sup>, S.F. Novaes<sup>a</sup>, Sandra S. Padula<sup>a</sup>, D. Romero Abad<sup>b</sup>, J.C. Ruiz Vargas<sup>a</sup>

**Institute for Nuclear Research and Nuclear Energy, Sofia, Bulgaria**

A. Aleksandrov, R. Hadjiiska, P. Iaydjiev, M. Rodozov, S. Stoykova, G. Sultanov, M. Vutova

**University of Sofia, Sofia, Bulgaria**

A. Dimitrov, I. Glushkov, L. Litov, B. Pavlov, P. Petkov

**Beihang University, Beijing, China**

W. Fang<sup>6</sup>

**Institute of High Energy Physics, Beijing, China**

M. Ahmad, J.G. Bian, G.M. Chen, H.S. Chen, M. Chen, Y. Chen<sup>7</sup>, T. Cheng, C.H. Jiang, D. Leggat, Z. Liu, F. Romeo, M. Ruan, S.M. Shaheen, A. Spiezia, J. Tao, C. Wang, Z. Wang, H. Zhang, J. Zhao

**State Key Laboratory of Nuclear Physics and Technology, Peking University, Beijing, China**

Y. Ban, G. Chen, Q. Li, S. Liu, Y. Mao, S.J. Qian, D. Wang, Z. Xu

**Universidad de Los Andes, Bogota, Colombia**

C. Avila, A. Cabrera, L.F. Chaparro Sierra, C. Florez, J.P. Gomez, C.F. González Hernández, J.D. Ruiz Alvarez, J.C. Sanabria

**University of Split, Faculty of Electrical Engineering, Mechanical Engineering and Naval Architecture, Split, Croatia**

N. Godinovic, D. Lelas, I. Puljak, P.M. Ribeiro Cipriano, T. Sculac

**University of Split, Faculty of Science, Split, Croatia**

Z. Antunovic, M. Kovac

**Institute Rudjer Boskovic, Zagreb, Croatia**

V. Brigljevic, D. Ferencek, K. Kadija, B. Mesic, T. Susa

**University of Cyprus, Nicosia, Cyprus**

A. Attikis, G. Mavromanolakis, J. Mousa, C. Nicolaou, F. Ptochos, P.A. Razis, H. Rykaczewski, D. Tsiakkouri

**Charles University, Prague, Czech Republic**

M. Finger<sup>8</sup>, M. Finger Jr.<sup>8</sup>

**Universidad San Francisco de Quito, Quito, Ecuador**

E. Carrera Jarrin

**Academy of Scientific Research and Technology of the Arab Republic of Egypt, Egyptian Network of High Energy Physics, Cairo, Egypt**

A.A. Abdelalim<sup>9,10</sup>, Y. Mohammed<sup>11</sup>, E. Salama<sup>12,13</sup>

**National Institute of Chemical Physics and Biophysics, Tallinn, Estonia**

M. Kadastik, L. Perrini, M. Raidal, A. Tiko, C. Veelken

**Department of Physics, University of Helsinki, Helsinki, Finland**

P. Eerola, J. Pekkanen, M. Voutilainen



**Helsinki Institute of Physics, Helsinki, Finland**

J. Härkönen, T. Järvinen, V. Karimäki, R. Kinnunen, T. Lampén, K. Lassila-Perini, S. Lehti, T. Lindén, P. Luukka, J. Tuominiemi, E. Tuovinen, L. Wendland

**Lappeenranta University of Technology, Lappeenranta, Finland**

J. Talvitie, T. Tuuva

**IRFU, CEA, Université Paris-Saclay, Gif-sur-Yvette, France**

M. Besancon, F. Couderc, M. Dejardin, D. Denegri, B. Fabbro, J.L. Faure, C. Favaro, F. Ferri, S. Ganjour, S. Ghosh, A. Givernaud, P. Gras, G. Hamel de Monchenault, P. Jarry, I. Kucher, E. Locci, M. Machet, J. Malcles, J. Rander, A. Rosowsky, M. Titov

**Laboratoire Leprince-Ringuet, Ecole Polytechnique, IN2P3-CNRS, Palaiseau, France**

A. Abdulsalam, I. Antropov, S. Baffioni, F. Beaudette, P. Busson, L. Cadamuro, E. Chapon, C. Charlot, O. Davignon, R. Granier de Cassagnac, M. Jo, S. Lisniak, P. Miné, M. Nguyen, C. Ochando, G. Ortona, P. Paganini, P. Pigard, S. Regnard, R. Salerno, Y. Sirois, A.G. Stahl Leiton, T. Strebler, Y. Yilmaz, A. Zabi, A. Zghiche

**Institut Pluridisciplinaire Hubert Curien (IPHC), Université de Strasbourg, CNRS-IN2P3**

J.-L. Agram<sup>14</sup>, J. Andrea, A. Aubin, D. Bloch, J.-M. Brom, M. Buttignol, E.C. Chabert, N. Chanon, C. Collard, E. Conte<sup>14</sup>, X. Coubez, J.-C. Fontaine<sup>14</sup>, D. Gelé, U. Goerlach, A.-C. Le Bihan, P. Van Hove

**Centre de Calcul de l'Institut National de Physique Nucleaire et de Physique des Particules, CNRS/IN2P3, Villeurbanne, France**

S. Gadrat

**Université de Lyon, Université Claude Bernard Lyon 1, CNRS-IN2P3, Institut de Physique Nucléaire de Lyon, Villeurbanne, France**

S. Beauceron, C. Bernet, G. Boudoul, C.A. Carrillo Montoya, R. Chierici, D. Contardo, B. Courbon, P. Depasse, H. El Mamouni, J. Fay, S. Gascon, M. Gouzevitch, G. Grenier, B. Ille, F. Lagarde, I.B. Laktineh, M. Lethuillier, L. Mirabito, A.L. Pequegnot, S. Perries, A. Popov<sup>15</sup>, D. Sabes, V. Sordini, M. Vander Donckt, P. Verdier, S. Viret

**Georgian Technical University, Tbilisi, Georgia**

T. Toriashvili<sup>16</sup>

**Tbilisi State University, Tbilisi, Georgia**

Z. Tsamalaidze<sup>8</sup>

**RWTH Aachen University, I. Physikalisches Institut, Aachen, Germany**

C. Autermann, S. Beranek, L. Feld, M.K. Kiesel, K. Klein, M. Lipinski, M. Preuten, C. Schomakers, J. Schulz, T. Verlage

**RWTH Aachen University, III. Physikalisches Institut A, Aachen, Germany**

A. Albert, M. Brodski, E. Dietz-Laursonn, D. Duchardt, M. Endres, M. Erdmann, S. Erdweg, T. Esch, R. Fischer, A. Güth, M. Hamer, T. Hebbeker, C. Heidemann, K. Hoepfner, S. Knutzen, M. Merschmeyer, A. Meyer, P. Millet, S. Mukherjee, M. Olschewski, K. Padeken, T. Pook, M. Radziej, H. Reithler, M. Rieger, F. Scheuch, L. Sonnenschein, D. Teyssier, S. Thüer

**RWTH Aachen University, III. Physikalisches Institut B, Aachen, Germany**

V. Cherepanov, G. Flügge, B. Kargoll, T. Kress, A. Künsken, J. Lingemann, T. Müller, A. Nehr Korn, A. Nowack, C. Pistone, O. Pooth, A. Stahl<sup>17</sup>

**Deutsches Elektronen-Synchrotron, Hamburg, Germany**

M. Aldaya Martin, T. Arndt, C. Asawatangtrakuldee, K. Beernaert, O. Behnke, U. Behrens, A.A. Bin Anuar, K. Borras<sup>18</sup>, A. Campbell, P. Connor, C. Contreras-Campana, F. Costanza, C. Diez Pardos, G. Dolinska, G. Eckerlin, D. Eckstein, T. Eichhorn, E. Eren, E. Gallo<sup>19</sup>, J. Garay Garcia, A. Geiser, A. Gizhko, J.M. Grados Luyando, A. Grohsjean, P. Gunnellini, A. Harb, J. Hauk, M. Hempel<sup>20</sup>, H. Jung, A. Kalogeropoulos, O. Karacheban<sup>20</sup>, M. Kasemann, J. Keaveney, C. Kleinwort, I. Korol, D. Krücker, W. Lange, A. Lelek, T. Lenz, J. Leonard, K. Lipka, A. Lobanov, W. Lohmann<sup>20</sup>, R. Mankel, I.-A. Melzer-Pellmann, A.B. Meyer, G. Mittag, J. Mnich, A. Mussgiller, D. Pitzl, R. Placakyte, A. Raspereza, B. Roland, M.Ö. Sahin, P. Saxena, T. Schoerner-Sadenius, S. Spannagel, N. Stefaniuk, G.P. Van Onsem, R. Walsh, C. Wissing

**University of Hamburg, Hamburg, Germany**

V. Blobel, M. Centis Vignali, A.R. Draeger, T. Dreyer, E. Garutti, D. Gonzalez, J. Haller, M. Hoffmann, A. Junkes, R. Klanner, R. Kogler, N. Kovalchuk, T. Lapsien, I. Marchesini, D. Marconi, M. Meyer, M. Niedziela, D. Nowatschin, F. Pantaleo<sup>17</sup>, T. Peiffer, A. Perieanu, C. Scharf, P. Schleper, A. Schmidt, S. Schumann, J. Schwandt, H. Stadie, G. Steinbrück, F.M. Stober, M. Stöver, H. Tholen, D. Troendle, E. Usai, L. Vanelderen, A. Vanhoefer, B. Vormwald

**Institut für Experimentelle Kernphysik, Karlsruhe, Germany**

M. Akbiyik, C. Barth, S. Baur, C. Baus, J. Berger, E. Butz, R. Caspart, T. Chwalek, F. Colombo, W. De Boer, A. Dierlamm, S. Fink, B. Freund, R. Friese, M. Giffels, A. Gilbert, P. Goldenzweig, D. Haitz, F. Hartmann<sup>17</sup>, S.M. Heindl, U. Husemann, I. Katkov<sup>15</sup>, S. Kudella, H. Mildner, M.U. Mozer, Th. Müller, M. Plagge, G. Quast, K. Rabbertz, S. Röcker, F. Roscher, M. Schröder, I. Shvetsov, G. Sieber, H.J. Simonis, R. Ulrich, S. Wayand, M. Weber, T. Weiler, S. Williamson, C. Wöhrmann, R. Wolf

**Institute of Nuclear and Particle Physics (INPP), NCSR Demokritos, Aghia Paraskevi, Greece**

G. Anagnostou, G. Daskalakis, T. Gerasis, V.A. Giakoumopoulou, A. Kyriakis, D. Loukas, I. Topsis-Giotis

**National and Kapodistrian University of Athens, Athens, Greece**

S. Kesisoglou, A. Panagiotou, N. Saoulidou, E. Tziaferi

**University of Ioánnina, Ioánnina, Greece**

I. Evangelou, G. Flouris, C. Foudas, P. Kokkas, N. Loukas, N. Manthos, I. Papadopoulos, E. Paradass

**MTA-ELTE Lendület CMS Particle and Nuclear Physics Group, Eötvös Loránd University, Budapest, Hungary**

N. Filipovic, G. Pasztor

**Wigner Research Centre for Physics, Budapest, Hungary**

G. Bencze, C. Hajdu, D. Horvath<sup>21</sup>, F. Sikler, V. Veszpremi, G. Vesztergombi<sup>22</sup>, A.J. Zsigmond

**Institute of Nuclear Research ATOMKI, Debrecen, Hungary**

N. Beni, S. Czellar, J. Karancsi<sup>23</sup>, A. Makovec, J. Molnar, Z. Szillasi

**Institute of Physics, University of Debrecen**

M. Bartók<sup>22</sup>, P. Raics, Z.L. Trocsanyi, B. Ujvari

**Indian Institute of Science (IISc)**

J.R. Komaragiri

**National Institute of Science Education and Research, Bhubaneswar, India**

S. Bahinipati<sup>24</sup>, S. Bhowmik<sup>25</sup>, S. Choudhury<sup>26</sup>, P. Mal, K. Mandal, A. Nayak<sup>27</sup>, D.K. Sahoo<sup>24</sup>, N. Sahoo, S.K. Swain

**Panjab University, Chandigarh, India**

S. Bansal, S.B. Beri, V. Bhatnagar, R. Chawla, U. Bhawandeep, A.K. Kalsi, A. Kaur, M. Kaur, R. Kumar, P. Kumari, A. Mehta, M. Mittal, J.B. Singh, G. Walia

**University of Delhi, Delhi, India**

Ashok Kumar, A. Bhardwaj, B.C. Choudhary, R.B. Garg, S. Keshri, S. Malhotra, M. Naimuddin, K. Ranjan, R. Sharma, V. Sharma

**Saha Institute of Nuclear Physics, Kolkata, India**

R. Bhattacharya, S. Bhattacharya, K. Chatterjee, S. Dey, S. Dutt, S. Dutta, S. Ghosh, N. Majumdar, A. Modak, K. Mondal, S. Mukhopadhyay, S. Nandan, A. Purohit, A. Roy, D. Roy, S. Roy Chowdhury, S. Sarkar, M. Sharan, S. Thakur

**Indian Institute of Technology Madras, Madras, India**

P.K. Behera

**Bhabha Atomic Research Centre, Mumbai, India**

R. Chudasama, D. Dutta, V. Jha, V. Kumar, A.K. Mohanty<sup>17</sup>, P.K. Netrakanti, L.M. Pant, P. Shukla, A. Topkar

**Tata Institute of Fundamental Research-A, Mumbai, India**

T. Aziz, S. Dugad, G. Kole, B. Mahakud, S. Mitra, G.B. Mohanty, B. Parida, N. Sur, B. Sutar

**Tata Institute of Fundamental Research-B, Mumbai, India**

S. Banerjee, R.K. Dewanjee, S. Ganguly, M. Guchait, Sa. Jain, S. Kumar, M. Maity<sup>25</sup>, G. Majumder, K. Mazumdar, T. Sarkar<sup>25</sup>, N. Wickramage<sup>28</sup>

**Indian Institute of Science Education and Research (IISER), Pune, India**

S. Chauhan, S. Dube, V. Hegde, A. Kapoor, K. Kothekar, S. Pandey, A. Rane, S. Sharma

**Institute for Research in Fundamental Sciences (IPM), Tehran, Iran**

S. Chenarani<sup>29</sup>, E. Eskandari Tadavani, S.M. Etesami<sup>29</sup>, M. Khakzad, M. Mohammadi Najafabadi, M. Naseri, S. Paktinat Mehdiabadi<sup>30</sup>, F. Rezaei Hosseinabadi, B. Safarzadeh<sup>31</sup>, M. Zeinali

**University College Dublin, Dublin, Ireland**

M. Felcini, M. Grunewald

**INFN Sezione di Bari <sup>a</sup>, Università di Bari <sup>b</sup>, Politecnico di Bari <sup>c</sup>, Bari, Italy**

M. Abbrescia<sup>a,b</sup>, C. Calabria<sup>a,b</sup>, C. Caputo<sup>a,b</sup>, A. Colaleo<sup>a</sup>, D. Creanza<sup>a,c</sup>, L. Cristella<sup>a,b</sup>, N. De Filippis<sup>a,c</sup>, M. De Palma<sup>a,b</sup>, L. Fiore<sup>a</sup>, G. Iaselli<sup>a,c</sup>, G. Maggi<sup>a,c</sup>, M. Maggi<sup>a</sup>, G. Miniello<sup>a,b</sup>, S. My<sup>a,b</sup>, S. Nuzzo<sup>a,b</sup>, A. Pompili<sup>a,b</sup>, G. Pugliese<sup>a,c</sup>, R. Radogna<sup>a,b</sup>, A. Ranieri<sup>a</sup>, G. Selvaggi<sup>a,b</sup>, A. Sharma<sup>a</sup>, L. Silvestris<sup>a,17</sup>, R. Venditti<sup>a,b</sup>, P. Verwilligen<sup>a</sup>

**INFN Sezione di Bologna <sup>a</sup>, Università di Bologna <sup>b</sup>, Bologna, Italy**

G. Abbiendi<sup>a</sup>, C. Battilana, D. Bonacorsi<sup>a,b</sup>, S. Braibant-Giacomelli<sup>a,b</sup>, L. Brigliadori<sup>a,b</sup>, R. Campanini<sup>a,b</sup>, P. Capiluppi<sup>a,b</sup>, A. Castro<sup>a,b</sup>, F.R. Cavallo<sup>a</sup>, S.S. Chhibra<sup>a,b</sup>, G. Codispoti<sup>a,b</sup>, M. Cuffiani<sup>a,b</sup>, G.M. Dallavalle<sup>a</sup>, F. Fabbri<sup>a</sup>, A. Fanfani<sup>a,b</sup>, D. Fasanella<sup>a,b</sup>, P. Giacomelli<sup>a</sup>, C. Grandi<sup>a</sup>, L. Guiducci<sup>a,b</sup>, S. Marcellini<sup>a</sup>, G. Masetti<sup>a</sup>, A. Montanari<sup>a</sup>, F.L. Navarria<sup>a,b</sup>, A. Perrotta<sup>a</sup>, A.M. Rossi<sup>a,b</sup>, T. Rovelli<sup>a,b</sup>, G.P. Siroli<sup>a,b</sup>, N. Tosi<sup>a,b,17</sup>

**INFN Sezione di Catania <sup>a</sup>, Università di Catania <sup>b</sup>, Catania, Italy**

S. Albergo<sup>a,b</sup>, S. Costa<sup>a,b</sup>, A. Di Mattia<sup>a</sup>, F. Giordano<sup>a,b</sup>, R. Potenza<sup>a,b</sup>, A. Tricomi<sup>a,b</sup>, C. Tuve<sup>a,b</sup>

**INFN Sezione di Firenze <sup>a</sup>, Università di Firenze <sup>b</sup>, Firenze, Italy**

G. Barbagli<sup>a</sup>, V. Ciulli<sup>a,b</sup>, C. Civinini<sup>a</sup>, R. D'Alessandro<sup>a,b</sup>, E. Focardi<sup>a,b</sup>, P. Lenzi<sup>a,b</sup>, M. Meschini<sup>a</sup>, S. Paoletti<sup>a</sup>, L. Russo<sup>a,32</sup>, G. Sguazzoni<sup>a</sup>, D. Strom<sup>a</sup>, L. Viliani<sup>a,b,17</sup>

**INFN Laboratori Nazionali di Frascati, Frascati, Italy**

L. Benussi, S. Bianco, F. Fabbri, D. Piccolo, F. Primavera<sup>17</sup>

**INFN Sezione di Genova <sup>a</sup>, Università di Genova <sup>b</sup>, Genova, Italy**

V. Calvelli<sup>a,b</sup>, F. Ferro<sup>a</sup>, M.R. Monge<sup>a,b</sup>, E. Robutti<sup>a</sup>, S. Tosi<sup>a,b</sup>

**INFN Sezione di Milano-Bicocca <sup>a</sup>, Università di Milano-Bicocca <sup>b</sup>, Milano, Italy**

L. Brianza<sup>a,b,17</sup>, F. Brivio<sup>a,b</sup>, V. Ciriolo, M.E. Dinardo<sup>a,b</sup>, S. Fiorendi<sup>a,b,17</sup>, S. Gennai<sup>a</sup>, A. Ghezzi<sup>a,b</sup>, P. Govoni<sup>a,b</sup>, M. Malberti<sup>a,b</sup>, S. Malvezzi<sup>a</sup>, R.A. Manzoni<sup>a,b</sup>, D. Menasce<sup>a</sup>, L. Moroni<sup>a</sup>, M. Paganoni<sup>a,b</sup>, D. Pedrini<sup>a</sup>, S. Pigazzini<sup>a,b</sup>, S. Ragazzi<sup>a,b</sup>, T. Tabarelli de Fatis<sup>a,b</sup>

**INFN Sezione di Napoli <sup>a</sup>, Università di Napoli 'Federico II' <sup>b</sup>, Napoli, Italy, Università della Basilicata <sup>c</sup>, Potenza, Italy, Università G. Marconi <sup>d</sup>, Roma, Italy**

S. Buontempo<sup>a</sup>, N. Cavallo<sup>a,c</sup>, G. De Nardo, S. Di Guida<sup>a,d,17</sup>, M. Esposito<sup>a,b</sup>, F. Fabozzi<sup>a,c</sup>, F. Fienga<sup>a,b</sup>, A.O.M. Iorio<sup>a,b</sup>, G. Lanza<sup>a</sup>, L. Lista<sup>a</sup>, S. Meola<sup>a,d,17</sup>, P. Paolucci<sup>a,17</sup>, C. Sciacca<sup>a,b</sup>, F. Thyssen<sup>a</sup>

**INFN Sezione di Padova <sup>a</sup>, Università di Padova <sup>b</sup>, Padova, Italy, Università di Trento <sup>c</sup>, Trento, Italy**

P. Azzi<sup>a,17</sup>, N. Bacchetta<sup>a</sup>, L. Benato<sup>a,b</sup>, D. Bisello<sup>a,b</sup>, A. Boletti<sup>a,b</sup>, R. Carlin<sup>a,b</sup>, A. Carvalho Antunes De Oliveira<sup>a,b</sup>, P. Checchia<sup>a</sup>, M. Dall'Osso<sup>a,b</sup>, P. De Castro Manzano<sup>a</sup>, T. Dorigo<sup>a</sup>, U. Dosselli<sup>a</sup>, F. Gasparini<sup>a,b</sup>, U. Gasparini<sup>a,b</sup>, A. Gozzelino<sup>a</sup>, S. Lacaprara<sup>a</sup>, M. Margoni<sup>a,b</sup>, A.T. Meneguzzo<sup>a,b</sup>, J. Pazzini<sup>a,b</sup>, N. Pozzobon<sup>a,b</sup>, P. Ronchese<sup>a,b</sup>, F. Simonetto<sup>a,b</sup>, E. Torassa<sup>a</sup>, M. Zanetti<sup>a,b</sup>, P. Zotto<sup>a,b</sup>, G. Zumerle<sup>a,b</sup>

**INFN Sezione di Pavia <sup>a</sup>, Università di Pavia <sup>b</sup>, Pavia, Italy**

A. Braghieri<sup>a</sup>, F. Fallavollita<sup>a,b</sup>, A. Magnani<sup>a,b</sup>, P. Montagna<sup>a,b</sup>, S.P. Ratti<sup>a,b</sup>, V. Re<sup>a</sup>, C. Riccardi<sup>a,b</sup>, P. Salvini<sup>a</sup>, I. Vai<sup>a,b</sup>, P. Vitulo<sup>a,b</sup>

**INFN Sezione di Perugia <sup>a</sup>, Università di Perugia <sup>b</sup>, Perugia, Italy**

L. Alunni Solestizi<sup>a,b</sup>, G.M. Bilei<sup>a</sup>, D. Ciangottini<sup>a,b</sup>, L. Fanò<sup>a,b</sup>, P. Lariccia<sup>a,b</sup>, R. Leonardi<sup>a,b</sup>, G. Mantovani<sup>a,b</sup>, V. Mariani<sup>a,b</sup>, M. Menichelli<sup>a</sup>, A. Saha<sup>a</sup>, A. Santocchia<sup>a,b</sup>

**INFN Sezione di Pisa <sup>a</sup>, Università di Pisa <sup>b</sup>, Scuola Normale Superiore di Pisa <sup>c</sup>, Pisa, Italy**

K. Androsov<sup>a,32</sup>, P. Azzurri<sup>a,17</sup>, G. Bagliesi<sup>a</sup>, J. Bernardini<sup>a</sup>, T. Boccali<sup>a</sup>, R. Castaldi<sup>a</sup>, M.A. Ciocci<sup>a,32</sup>, R. Dell'Orso<sup>a</sup>, S. Donato<sup>a,c</sup>, G. Fedi, A. Giassi<sup>a</sup>, M.T. Grippo<sup>a,32</sup>, F. Ligabue<sup>a,c</sup>, T. Lomtadze<sup>a</sup>, L. Martini<sup>a,b</sup>, A. Messineo<sup>a,b</sup>, F. Palla<sup>a</sup>, A. Rizzi<sup>a,b</sup>, A. Savoy-Navarro<sup>a,33</sup>, P. Spagnolo<sup>a</sup>, R. Tenchini<sup>a</sup>, G. Tonelli<sup>a,b</sup>, A. Venturi<sup>a</sup>, P.G. Verdini<sup>a</sup>

**INFN Sezione di Roma <sup>a</sup>, Università di Roma <sup>b</sup>, Roma, Italy**

L. Barone<sup>a,b</sup>, F. Cavallari<sup>a</sup>, M. Cipriani<sup>a,b</sup>, D. Del Re<sup>a,b,17</sup>, M. Diemoz<sup>a</sup>, S. Gelli<sup>a,b</sup>, E. Longo<sup>a,b</sup>, F. Margaroli<sup>a,b</sup>, B. Marzocchi<sup>a,b</sup>, P. Meridiani<sup>a</sup>, G. Organtini<sup>a,b</sup>, R. Paramatti<sup>a</sup>, F. Preiato<sup>a,b</sup>, S. Rahatlou<sup>a,b</sup>, C. Rovelli<sup>a</sup>, F. Santanastasio<sup>a,b</sup>

**INFN Sezione di Torino <sup>a</sup>, Università di Torino <sup>b</sup>, Torino, Italy, Università del Piemonte Orientale <sup>c</sup>, Novara, Italy**

N. Amapane<sup>a,b</sup>, R. Arcidiacono<sup>a,c,17</sup>, S. Argiro<sup>a,b</sup>, M. Arneodo<sup>a,c</sup>, N. Bartosik<sup>a</sup>, R. Bellan<sup>a,b</sup>, C. Biino<sup>a</sup>, N. Cartiglia<sup>a</sup>, F. Cenna<sup>a,b</sup>, M. Costa<sup>a,b</sup>, R. Covarelli<sup>a,b</sup>, A. Degano<sup>a,b</sup>, N. Demaria<sup>a</sup>,

L. Finco<sup>a,b</sup>, B. Kiani<sup>a,b</sup>, C. Mariotti<sup>a</sup>, S. Maselli<sup>a</sup>, E. Migliore<sup>a,b</sup>, V. Monaco<sup>a,b</sup>, E. Monteil<sup>a,b</sup>, M. Monteno<sup>a</sup>, M.M. Obertino<sup>a,b</sup>, L. Pacher<sup>a,b</sup>, N. Pastrone<sup>a</sup>, M. Pelliccioni<sup>a</sup>, G.L. Pinna Angioni<sup>a,b</sup>, F. Ravera<sup>a,b</sup>, A. Romero<sup>a,b</sup>, M. Ruspa<sup>a,c</sup>, R. Sacchi<sup>a,b</sup>, K. Shchelina<sup>a,b</sup>, V. Sola<sup>a</sup>, A. Solano<sup>a,b</sup>, A. Staiano<sup>a</sup>, P. Traczyk<sup>a,b</sup>

**INFN Sezione di Trieste<sup>a</sup>, Università di Trieste<sup>b</sup>, Trieste, Italy**

S. Belforte<sup>a</sup>, M. Casarsa<sup>a</sup>, F. Cossutti<sup>a</sup>, G. Della Ricca<sup>a,b</sup>, A. Zanetti<sup>a</sup>

**Kyungpook National University, Daegu, Korea**

D.H. Kim, G.N. Kim, M.S. Kim, S. Lee, S.W. Lee, Y.D. Oh, S. Sekmen, D.C. Son, Y.C. Yang

**Chonbuk National University, Jeonju, Korea**

A. Lee

**Chonnam National University, Institute for Universe and Elementary Particles, Kwangju, Korea**

H. Kim

**Hanyang University, Seoul, Korea**

J.A. Brochero Cifuentes, T.J. Kim

**Korea University, Seoul, Korea**

S. Cho, S. Choi, Y. Go, D. Gyun, S. Ha, B. Hong, Y. Jo, Y. Kim, K. Lee, K.S. Lee, S. Lee, J. Lim, S.K. Park, Y. Roh

**Seoul National University, Seoul, Korea**

J. Almond, J. Kim, H. Lee, S.B. Oh, B.C. Radburn-Smith, S.h. Seo, U.K. Yang, H.D. Yoo, G.B. Yu

**University of Seoul, Seoul, Korea**

M. Choi, H. Kim, J.H. Kim, J.S.H. Lee, I.C. Park, G. Ryu, M.S. Ryu

**Sungkyunkwan University, Suwon, Korea**

Y. Choi, J. Goh, C. Hwang, J. Lee, I. Yu

**Vilnius University, Vilnius, Lithuania**

V. Dudenas, A. Juodagalvis, J. Vaitkus

**National Centre for Particle Physics, Universiti Malaya, Kuala Lumpur, Malaysia**

I. Ahmed, Z.A. Ibrahim, M.A.B. Md Ali<sup>34</sup>, F. Mohamad Idris<sup>35</sup>, W.A.T. Wan Abdullah, M.N. Yusli, Z. Zolkapli

**Centro de Investigacion y de Estudios Avanzados del IPN, Mexico City, Mexico**

H. Castilla-Valdez, E. De La Cruz-Burelo, I. Heredia-De La Cruz<sup>36</sup>, A. Hernandez-Almada, R. Lopez-Fernandez, R. Magaña Villalba, J. Mejia Guisao, A. Sanchez-Hernandez

**Universidad Iberoamericana, Mexico City, Mexico**

S. Carrillo Moreno, C. Oropeza Barrera, F. Vazquez Valencia

**Benemerita Universidad Autonoma de Puebla, Puebla, Mexico**

S. Carpitteyro, I. Pedraza, H.A. Salazar Ibarguen, C. Uribe Estrada

**Universidad Autónoma de San Luis Potosí, San Luis Potosí, Mexico**

A. Morelos Pineda

**University of Auckland, Auckland, New Zealand**

D. Krofcheck

**University of Canterbury, Christchurch, New Zealand**

P.H. Butler

**National Centre for Physics, Quaid-I-Azam University, Islamabad, Pakistan**

A. Ahmad, M. Ahmad, Q. Hassan, H.R. Hoorani, W.A. Khan, A. Saddique, M.A. Shah, M. Shoaib, M. Waqas

**National Centre for Nuclear Research, Swierk, Poland**

H. Bialkowska, M. Bluj, B. Boimska, T. Frueboes, M. Górski, M. Kazana, K. Nawrocki, K. Romanowska-Rybinska, M. Szleper, P. Zalewski

**Institute of Experimental Physics, Faculty of Physics, University of Warsaw, Warsaw, Poland**K. Bunkowski, A. Byszuk<sup>37</sup>, K. Doroba, A. Kalinowski, M. Konecki, J. Krolikowski, M. Misiura, M. Olszewski, M. Walczak**Laboratório de Instrumentação e Física Experimental de Partículas, Lisboa, Portugal**

P. Bargassa, C. Beirão Da Cruz E Silva, B. Calpas, A. Di Francesco, P. Faccioli, P.G. Ferreira Parracho, M. Gallinaro, J. Hollar, N. Leonardo, L. Lloret Iglesias, M.V. Nemallapudi, J. Rodrigues Antunes, J. Seixas, O. Toldaiev, D. Vadrucio, J. Varela

**Joint Institute for Nuclear Research, Dubna, Russia**S. Afanasiev, P. Bunin, M. Gavrilenko, I. Golutvin, I. Gorbunov, A. Kamenev, V. Karjavin, A. Lanev, A. Malakhov, V. Matveev<sup>38,39</sup>, V. Palichik, V. Perelygin, S. Shmatov, S. Shulha, N. Skatchkov, V. Smirnov, N. Voytishin, A. Zarubin**Petersburg Nuclear Physics Institute, Gatchina (St. Petersburg), Russia**L. Chtchipounov, V. Golovtsov, Y. Ivanov, V. Kim<sup>40</sup>, E. Kuznetsova<sup>41</sup>, V. Murzin, V. Oreshkin, V. Sulimov, A. Vorobyev**Institute for Nuclear Research, Moscow, Russia**

Yu. Andreev, A. Dermenev, S. Gninenko, N. Golubev, A. Karneyeu, M. Kirsanov, N. Krasnikov, A. Pashenkov, D. Tlisov, A. Toropin

**Institute for Theoretical and Experimental Physics, Moscow, Russia**

V. Epshteyn, V. Gavrillov, N. Lychkovskaya, V. Popov, I. Pozdnyakov, G. Safronov, A. Spiridonov, M. Toms, E. Vlasov, A. Zhokin

**Moscow Institute of Physics and Technology, Moscow, Russia**T. Aushev, A. Bylinkin<sup>39</sup>**National Research Nuclear University 'Moscow Engineering Physics Institute' (MEPhI), Moscow, Russia**M. Chadeeva<sup>42</sup>, R. Chistov<sup>42</sup>, S. Polikarpov, V. Rusinov, E. Zhemchugov**P.N. Lebedev Physical Institute, Moscow, Russia**V. Andreev, M. Azarkin<sup>39</sup>, I. Dremin<sup>39</sup>, M. Kirakosyan, A. Leonidov<sup>39</sup>, A. Terkulov**Skobeltsyn Institute of Nuclear Physics, Lomonosov Moscow State University, Moscow, Russia**A. Baskakov, A. Belyaev, E. Boos, M. Dubinin<sup>43</sup>, L. Dudko, A. Ershov, A. Gribushin, V. Klyukhin, O. Kodolova, I. Lokhtin, I. Miagkov, S. Obraztsov, S. Petrushanko, V. Savrin, A. Snigirev**Novosibirsk State University (NSU), Novosibirsk, Russia**V. Blinov<sup>44</sup>, Y. Skovpen<sup>44</sup>, D. Shtol<sup>44</sup>

**State Research Center of Russian Federation, Institute for High Energy Physics, Protvino, Russia**

I. Azhgirey, I. Bayshev, S. Bitioukov, D. Elumakhov, V. Kachanov, A. Kalinin, D. Konstantinov, V. Krychkine, V. Petrov, R. Ryutin, A. Sobol, S. Troshin, N. Tyurin, A. Uzunian, A. Volkov

**University of Belgrade, Faculty of Physics and Vinca Institute of Nuclear Sciences, Belgrade, Serbia**

P. Adzic<sup>45</sup>, P. Cirkovic, D. Devetak, M. Dordevic, J. Milosevic, V. Rekovic

**Centro de Investigaciones Energéticas Medioambientales y Tecnológicas (CIEMAT), Madrid, Spain**

J. Alcaraz Maestre, M. Barrio Luna, E. Calvo, M. Cerrada, M. Chamizo Llatas, N. Colino, B. De La Cruz, A. Delgado Peris, A. Escalante Del Valle, C. Fernandez Bedoya, J.P. Fernández Ramos, J. Flix, M.C. Fouz, P. Garcia-Abia, O. Gonzalez Lopez, S. Goy Lopez, J.M. Hernandez, M.I. Josa, E. Navarro De Martino, A. Pérez-Calero Yzquierdo, J. Puerta Pelayo, A. Quintario Olmeda, I. Redondo, L. Romero, M.S. Soares

**Universidad Autónoma de Madrid, Madrid, Spain**

J.F. de Trocóniz, M. Missiroli, D. Moran

**Universidad de Oviedo, Oviedo, Spain**

J. Cuevas, J. Fernandez Menendez, I. Gonzalez Caballero, J.R. González Fernández, E. Palencia Cortezon, S. Sanchez Cruz, I. Suárez Andrés, P. Vischia, J.M. Vizan Garcia

**Instituto de Física de Cantabria (IFCA), CSIC-Universidad de Cantabria, Santander, Spain**

I.J. Cabrillo, A. Calderon, E. Curras, M. Fernandez, J. Garcia-Ferrero, G. Gomez, A. Lopez Virto, J. Marco, C. Martinez Rivero, F. Matorras, J. Piedra Gomez, T. Rodrigo, A. Ruiz-Jimeno, L. Scodellaro, N. Trevisani, I. Vila, R. Vilar Cortabitarte

**CERN, European Organization for Nuclear Research, Geneva, Switzerland**

D. Abbaneo, E. Auffray, G. Auzinger, P. Baillon, A.H. Ball, D. Barney, P. Bloch, A. Bocci, C. Botta, T. Camporesi, R. Castello, M. Cepeda, G. Cerminara, Y. Chen, D. d'Enterria, A. Dabrowski, V. Daponte, A. David, M. De Gruttola, A. De Roeck, E. Di Marco<sup>46</sup>, M. Dobson, B. Dorney, T. du Pree, D. Duggan, M. Dünser, N. Dupont, A. Elliott-Peisert, P. Everaerts, S. Fartoukh, G. Franzoni, J. Fulcher, W. Funk, D. Gigi, K. Gill, M. Girone, F. Glege, D. Gulhan, S. Gundacker, M. Guthoff, P. Harris, J. Hegeman, V. Innocente, P. Janot, J. Kieseler, H. Kirschenmann, V. Knünz, A. Kornmayer<sup>17</sup>, M.J. Kortelainen, K. Kousouris, M. Krammer<sup>1</sup>, C. Lange, P. Lecoq, C. Lourenço, M.T. Lucchini, L. Malgeri, M. Mannelli, A. Martelli, F. Meijers, J.A. Merlin, S. Mersi, E. Meschi, P. Milenovic<sup>47</sup>, F. Moortgat, S. Morovic, M. Mulders, H. Neugebauer, S. Orfanelli, L. Orsini, L. Pape, E. Perez, M. Peruzzi, A. Petrilli, G. Petrucciani, A. Pfeiffer, M. Pierini, A. Racz, T. Reis, G. Rolandi<sup>48</sup>, M. Rovere, H. Sakulin, J.B. Sauvan, C. Schäfer, C. Schwick, M. Seidel, A. Sharma, P. Silva, P. Sphicas<sup>49</sup>, J. Steggemann, M. Stoye, Y. Takahashi, M. Tosi, D. Treille, A. Triossi, A. Tsirou, V. Veckalns<sup>50</sup>, G.I. Veres<sup>22</sup>, M. Verweij, N. Wardle, H.K. Wöhri, A. Zagozdinska<sup>37</sup>, W.D. Zeuner

**Paul Scherrer Institut, Villigen, Switzerland**

W. Bertl, K. Deiters, W. Erdmann, R. Horisberger, Q. Ingram, H.C. Kaestli, D. Kotlinski, U. Langenegger, T. Rohe, S.A. Wiederkehr

**Institute for Particle Physics, ETH Zurich, Zurich, Switzerland**

F. Bachmair, L. Bäni, L. Bianchini, B. Casal, G. Dissertori, M. Dittmar, M. Donegà, C. Grab, C. Heidegger, D. Hits, J. Hoss, G. Kasieczka, W. Lustermann, B. Mangano, M. Marionneau, P. Martinez Ruiz del Arbol, M. Masciovecchio, M.T. Meinhard, D. Meister, F. Micheli,

P. Musella, F. Nessi-Tedaldi, F. Pandolfi, J. Pata, F. Pauss, G. Perrin, L. Perrozzi, M. Quittnat, M. Rossini, M. Schönenberger, A. Starodumov<sup>51</sup>, V.R. Tavolaro, K. Theofilatos, R. Wallny

**Universität Zürich, Zurich, Switzerland**

T.K. Aarrestad, C. Amsler<sup>52</sup>, L. Caminada, M.F. Canelli, A. De Cosa, C. Galloni, A. Hinzmann, T. Hreus, B. Kilminster, J. Ngadiuba, D. Pinna, G. Rauco, P. Robmann, D. Salerno, C. Seitz, Y. Yang, A. Zucchetta

**National Central University, Chung-Li, Taiwan**

V. Candelise, T.H. Doan, Sh. Jain, R. Khurana, M. Konyushikhin, C.M. Kuo, W. Lin, A. Pozdnyakov, S.S. Yu

**National Taiwan University (NTU), Taipei, Taiwan**

Arun Kumar, P. Chang, Y.H. Chang, Y. Chao, K.F. Chen, P.H. Chen, F. Fiori, W.-S. Hou, Y. Hsiung, Y.F. Liu, R.-S. Lu, M. Miñano Moya, E. Paganis, A. Psallidas, J.f. Tsai

**Chulalongkorn University, Faculty of Science, Department of Physics, Bangkok, Thailand**

B. Asavapibhop, G. Singh, N. Srimanobhas, N. Suwonjandee

**Cukurova University - Physics Department, Science and Art Faculty**

A. Adiguzel, S. Cerci<sup>53</sup>, S. Damarseckin, Z.S. Demiroglu, C. Dozen, I. Dumanoglu, S. Girgis, G. Gokbulut, Y. Guler, I. Hos<sup>54</sup>, E.E. Kangal<sup>55</sup>, O. Kara, A. Kayis Topaksu, U. Kiminsu, M. Oglakci, G. Onengut<sup>56</sup>, K. Ozdemir<sup>57</sup>, D. Sunar Cerci<sup>53</sup>, B. Tali<sup>53</sup>, S. Turkcapar, I.S. Zorbakir, C. Zorbilmez

**Middle East Technical University, Physics Department, Ankara, Turkey**

B. Bilin, S. Bilmis, B. Isildak<sup>58</sup>, G. Karapinar<sup>59</sup>, M. Yalvac, M. Zeyrek

**Bogazici University, Istanbul, Turkey**

E. Gülmez, M. Kaya<sup>60</sup>, O. Kaya<sup>61</sup>, E.A. Yetkin<sup>62</sup>, T. Yetkin<sup>63</sup>

**Istanbul Technical University, Istanbul, Turkey**

A. Cakir, K. Cankocak, S. Sen<sup>64</sup>

**Institute for Scintillation Materials of National Academy of Science of Ukraine, Kharkov, Ukraine**

B. Grynyov

**National Scientific Center, Kharkov Institute of Physics and Technology, Kharkov, Ukraine**

L. Levchuk, P. Sorokin

**University of Bristol, Bristol, United Kingdom**

R. Aggleton, F. Ball, L. Beck, J.J. Brooke, D. Burns, E. Clement, D. Cussans, H. Flacher, J. Goldstein, M. Grimes, G.P. Heath, H.F. Heath, J. Jacob, L. Kreczko, C. Lucas, D.M. Newbold<sup>65</sup>, S. Paramesvaran, A. Poll, T. Sakuma, S. Seif El Nasr-storey, D. Smith, V.J. Smith

**Rutherford Appleton Laboratory, Didcot, United Kingdom**

K.W. Bell, A. Belyaev<sup>66</sup>, C. Brew, R.M. Brown, L. Calligaris, D. Cieri, D.J.A. Cockerill, J.A. Coughlan, K. Harder, S. Harper, E. Olaiya, D. Petyt, C.H. Shepherd-Themistocleous, A. Thea, I.R. Tomalin, T. Williams

**Imperial College, London, United Kingdom**

M. Baber, R. Bainbridge, O. Buchmuller, A. Bundock, D. Burton, S. Casasso, M. Citron, D. Colling, L. Corpe, P. Dauncey, G. Davies, A. De Wit, M. Della Negra, R. Di Maria, P. Dunne, A. Elwood, D. Futyan, Y. Haddad, G. Hall, G. Iles, T. James, R. Lane, C. Laner, R. Lucas<sup>65</sup>, L. Lyons, A.-M. Magnan, S. Malik, L. Mastrolorenzo, J. Nash, A. Nikitenko<sup>51</sup>, J. Pela, B. Penning,



M. Pesaresi, D.M. Raymond, A. Richards, A. Rose, E. Scott, C. Seez, S. Summers, A. Tapper, K. Uchida, M. Vazquez Acosta<sup>67</sup>, T. Virdee<sup>17</sup>, J. Wright, S.C. Zenz

**Brunel University, Uxbridge, United Kingdom**

J.E. Cole, P.R. Hobson, A. Khan, P. Kyberd, I.D. Reid, P. Symonds, L. Teodorescu, M. Turner

**Baylor University, Waco, USA**

A. Borzou, K. Call, J. Dittmann, K. Hatakeyama, H. Liu, N. Pastika

**Catholic University of America**

R. Bartek, A. Dominguez

**The University of Alabama, Tuscaloosa, USA**

A. Buccilli, S.I. Cooper, C. Henderson, P. Rumerio, C. West

**Boston University, Boston, USA**

D. Arcaro, A. Avetisyan, T. Bose, D. Gastler, D. Rankin, C. Richardson, J. Rohlf, L. Sulak, D. Zou

**Brown University, Providence, USA**

G. Benelli, D. Cutts, A. Garabedian, J. Hakala, U. Heintz, J.M. Hogan, O. Jesus, K.H.M. Kwok, E. Laird, G. Landsberg, Z. Mao, M. Narain, S. Piperov, S. Sagir, E. Spencer, R. Syarif

**University of California, Davis, Davis, USA**

R. Breedon, D. Burns, M. Calderon De La Barca Sanchez, S. Chauhan, M. Chertok, J. Conway, R. Conway, P.T. Cox, R. Erbacher, C. Flores, G. Funk, M. Gardner, W. Ko, R. Lander, C. Mclean, M. Mulhearn, D. Pellett, J. Pilot, S. Shalhout, M. Shi, J. Smith, M. Squires, D. Stolp, K. Tos, M. Tripathi

**University of California, Los Angeles, USA**

M. Bachtis, C. Bravo, R. Cousins, A. Dasgupta, A. Florent, J. Hauser, M. Ignatenko, N. Mccoll, D. Saltzberg, C. Schnaible, V. Valuev, M. Weber

**University of California, Riverside, Riverside, USA**

E. Bouvier, K. Burt, R. Clare, J. Ellison, J.W. Gary, S.M.A. Ghiasi Shirazi, G. Hanson, J. Heilman, P. Jandir, E. Kennedy, F. Lacroix, O.R. Long, M. Olmedo Negrete, M.I. Paneva, A. Shrinivas, W. Si, H. Wei, S. Wimpenny, B. R. Yates

**University of California, San Diego, La Jolla, USA**

J.G. Branson, G.B. Cerati, S. Cittolin, M. Derdzinski, R. Gerosa, A. Holzner, D. Klein, V. Krutelyov, J. Letts, I. Macneill, D. Olivito, S. Padhi, M. Pieri, M. Sani, V. Sharma, S. Simon, M. Tadel, A. Vartak, S. Wasserbaech<sup>68</sup>, C. Welke, J. Wood, F. Würthwein, A. Yagil, G. Zevi Della Porta

**University of California, Santa Barbara - Department of Physics, Santa Barbara, USA**

N. Amin, R. Bhandari, J. Bradmiller-Feld, C. Campagnari, A. Dishaw, V. Dutta, M. Franco Sevilla, C. George, F. Golf, L. Gouskos, J. Gran, R. Heller, J. Incandela, S.D. Mullin, A. Ovcharova, H. Qu, J. Richman, D. Stuart, I. Suarez, J. Yoo

**California Institute of Technology, Pasadena, USA**

D. Anderson, J. Bendavid, A. Bornheim, J. Bunn, J. Duarte, J.M. Lawhorn, A. Mott, H.B. Newman, C. Pena, M. Spiropulu, J.R. Vlimant, S. Xie, R.Y. Zhu

**Carnegie Mellon University, Pittsburgh, USA**

M.B. Andrews, T. Ferguson, M. Paulini, J. Russ, M. Sun, H. Vogel, I. Vorobiev, M. Weinberg

**University of Colorado Boulder, Boulder, USA**

J.P. Cumalat, W.T. Ford, F. Jensen, A. Johnson, M. Krohn, S. Leontsinis, T. Mulholland, K. Stenson, S.R. Wagner

**Cornell University, Ithaca, USA**

J. Alexander, J. Chaves, J. Chu, S. Dittmer, K. McDermott, N. Mirman, G. Nicolas Kaufman, J.R. Patterson, A. Rinkevicius, A. Ryd, L. Skinnari, L. Soffi, S.M. Tan, Z. Tao, J. Thom, J. Tucker, P. Wittich, M. Zientek

**Fairfield University, Fairfield, USA**

D. Winn

**Fermi National Accelerator Laboratory, Batavia, USA**

S. Abdullin, M. Albrow, G. Apollinari, A. Apresyan, S. Banerjee, L.A.T. Bauerdick, A. Beretvas, J. Berryhill, P.C. Bhat, G. Bolla, K. Burkett, J.N. Butler, H.W.K. Cheung, F. Chlebana, S. Cihangir<sup>†</sup>, M. Cremonesi, V.D. Elvira, I. Fisk, J. Freeman, E. Gottschalk, L. Gray, D. Green, S. Grünendahl, O. Gutsche, D. Hare, R.M. Harris, S. Hasegawa, J. Hirschauer, Z. Hu, B. Jayatilaka, S. Jindariani, M. Johnson, U. Joshi, B. Klima, B. Kreis, S. Lammel, J. Linacre, D. Lincoln, R. Lipton, M. Liu, T. Liu, R. Lopes De Sá, J. Lykken, K. Maeshima, N. Magini, J.M. Marraffino, S. Maruyama, D. Mason, P. McBride, P. Merkel, S. Mrenna, S. Nahn, V. O'Dell, K. Pedro, O. Prokofyev, G. Rakness, L. Ristori, E. Sexton-Kennedy, A. Soha, W.J. Spalding, L. Spiegel, S. Stoynev, J. Strait, N. Strobbe, L. Taylor, S. Tkaczyk, N.V. Tran, L. Uplegger, E.W. Vaandering, C. Vernieri, M. Verzocchi, R. Vidal, M. Wang, H.A. Weber, A. Whitbeck, Y. Wu

**University of Florida, Gainesville, USA**

D. Acosta, P. Avery, P. Bortignon, D. Bourilkov, A. Brinkerhoff, A. Carnes, M. Carver, D. Curry, S. Das, R.D. Field, I.K. Furic, J. Konigsberg, A. Korytov, J.F. Low, P. Ma, K. Matchev, H. Mei, G. Mitselmakher, D. Rank, L. Shchutska, D. Sperka, L. Thomas, J. Wang, S. Wang, J. Yelton

**Florida International University, Miami, USA**

S. Linn, P. Markowitz, G. Martinez, J.L. Rodriguez

**Florida State University, Tallahassee, USA**

A. Ackert, T. Adams, A. Askew, S. Bein, S. Hagopian, V. Hagopian, K.F. Johnson, T. Kolberg, H. Prosper, A. Santra, R. Yohay

**Florida Institute of Technology, Melbourne, USA**

M.M. Baarmand, V. Bhopatkar, S. Colafranceschi, M. Hohlmann, D. Noonan, T. Roy, F. Yumiceva

**University of Illinois at Chicago (UIC), Chicago, USA**

M.R. Adams, L. Apanasevich, D. Berry, R.R. Betts, I. Bucinskaite, R. Cavanaugh, O. Evdokimov, L. Gauthier, C.E. Gerber, D.J. Hofman, K. Jung, I.D. Sandoval Gonzalez, N. Varelas, H. Wang, Z. Wu, M. Zakaria, J. Zhang

**The University of Iowa, Iowa City, USA**

B. Bilki<sup>69</sup>, W. Clarida, K. Dilsiz, S. Durgut, R.P. Gandrajula, M. Haytmyradov, V. Khristenko, J.-P. Merlo, H. Mermerkaya<sup>70</sup>, A. Mestvirishvili, A. Moeller, J. Nachtman, H. Ogul, Y. Onel, E. Ozok<sup>71</sup>, A. Penzo, C. Snyder, E. Tiras, J. Wetzel, K. Yi

**Johns Hopkins University, Baltimore, USA**

B. Blumenfeld, A. Cocoros, N. Eminizer, D. Fehling, L. Feng, A.V. Gritsan, P. Maksimovic, J. Roskes, U. Sarica, M. Swartz, M. Xiao, C. You

**The University of Kansas, Lawrence, USA**

A. Al-bataineh, P. Baringer, A. Bean, S. Boren, J. Bowen, J. Castle, L. Forthomme, R.P. Kenny III, S. Khalil, A. Kropivnitskaya, D. Majumder, W. Mcbrayer, M. Murray, S. Sanders, R. Stringer, J.D. Tapia Takaki, Q. Wang

**Kansas State University, Manhattan, USA**

A. Ivanov, K. Kaadze, Y. Maravin, A. Mohammadi, L.K. Saini, N. Skhirtladze, S. Toda

**Lawrence Livermore National Laboratory, Livermore, USA**

F. Rebassoo, D. Wright

**University of Maryland, College Park, USA**

C. Anelli, A. Baden, O. Baron, A. Belloni, B. Calvert, S.C. Eno, C. Ferraioli, J.A. Gomez, N.J. Hadley, S. Jabeen, G.Y. Jeng, R.G. Kellogg, J. Kunkle, A.C. Mignerey, F. Ricci-Tam, Y.H. Shin, A. Skuja, M.B. Tonjes, S.C. Tonwar

**Massachusetts Institute of Technology, Cambridge, USA**

D. Abercrombie, B. Allen, A. Apyan, V. Azzolini, R. Barbieri, A. Baty, R. Bi, K. Bierwagen, S. Brandt, W. Busza, I.A. Cali, M. D'Alfonso, Z. Demiragli, G. Gomez Ceballos, M. Goncharov, D. Hsu, Y. Iiyama, G.M. Innocenti, M. Klute, D. Kovalskyi, K. Krajczar, Y.S. Lai, Y.-J. Lee, A. Levin, P.D. Luckey, B. Maier, A.C. Marini, C. McGinn, C. Mironov, S. Narayanan, X. Niu, C. Paus, C. Roland, G. Roland, J. Salfeld-Nebgen, G.S.F. Stephans, K. Tatar, D. Velicanu, J. Wang, T.W. Wang, B. Wyslouch

**University of Minnesota, Minneapolis, USA**

A.C. Benvenuti, R.M. Chatterjee, A. Evans, P. Hansen, S. Kalafut, S.C. Kao, Y. Kubota, Z. Lesko, J. Mans, S. Nourbakhsh, N. Ruckstuhl, R. Rusack, N. Tambe, J. Turkewitz

**University of Mississippi, Oxford, USA**

J.G. Acosta, S. Oliveros

**University of Nebraska-Lincoln, Lincoln, USA**

E. Avdeeva, K. Bloom, D.R. Claes, C. Fangmeier, R. Gonzalez Suarez, R. Kamalieddin, I. Kravchenko, A. Malta Rodrigues, J. Monroy, J.E. Siado, G.R. Snow, B. Stieger

**State University of New York at Buffalo, Buffalo, USA**

M. Alyari, J. Dolen, A. Godshalk, C. Harrington, I. Iashvili, J. Kaisen, D. Nguyen, A. Parker, S. Rappoccio, B. Roozbahani

**Northeastern University, Boston, USA**

G. Alverson, E. Barberis, A. Hortiangtham, A. Massironi, D.M. Morse, D. Nash, T. Orimoto, R. Teixeira De Lima, D. Trocino, R.-J. Wang, D. Wood

**Northwestern University, Evanston, USA**

S. Bhattacharya, O. Charaf, K.A. Hahn, A. Kumar, N. Mucia, N. Odell, B. Pollack, M.H. Schmitt, K. Sung, M. Trovato, M. Velasco

**University of Notre Dame, Notre Dame, USA**

N. Dev, M. Hildreth, K. Hurtado Anampa, C. Jessop, D.J. Karmgard, N. Kellams, K. Lannon, N. Marinelli, F. Meng, C. Mueller, Y. Musienko<sup>38</sup>, M. Planer, A. Reinsvold, R. Ruchti, N. Rupprecht, G. Smith, S. Taroni, M. Wayne, M. Wolf, A. Woodard

**The Ohio State University, Columbus, USA**

J. Alimena, L. Antonelli, B. Bylsma, L.S. Durkin, S. Flowers, B. Francis, A. Hart, C. Hill, R. Hughes, W. Ji, B. Liu, W. Luo, D. Puigh, B.L. Winer, H.W. Wulsin

**Princeton University, Princeton, USA**

S. Cooperstein, O. Driga, P. Elmer, J. Hardenbrook, P. Hebda, D. Lange, J. Luo, D. Marlow, T. Medvedeva, K. Mei, I. Ojalvo, J. Olsen, C. Palmer, P. Piroué, D. Stickland, A. Svyatkovskiy, C. Tully

**University of Puerto Rico, Mayaguez, USA**

S. Malik

**Purdue University, West Lafayette, USA**

A. Barker, V.E. Barnes, S. Folgueras, L. Gutay, M.K. Jha, M. Jones, A.W. Jung, A. Khatiwada, D.H. Miller, N. Neumeister, J.F. Schulte, X. Shi, J. Sun, F. Wang, W. Xie

**Purdue University Calumet, Hammond, USA**

N. Parashar, J. Stupak

**Rice University, Houston, USA**

A. Adair, B. Akgun, Z. Chen, K.M. Ecklund, F.J.M. Geurts, M. Guilbaud, W. Li, B. Michlin, M. Northup, B.P. Padley, J. Roberts, J. Rorie, Z. Tu, J. Zabel

**University of Rochester, Rochester, USA**

B. Betchart, A. Bodek, P. de Barbaro, R. Demina, Y.t. Duh, T. Ferbel, M. Galanti, A. Garcia-Bellido, J. Han, O. Hindrichs, A. Khukhunaishvili, K.H. Lo, P. Tan, M. Verzetti

**Rutgers, The State University of New Jersey, Piscataway, USA**

A. Agapitos, J.P. Chou, Y. Gershtein, T.A. Gómez Espinosa, E. Halkiadakis, M. Heindl, E. Hughes, S. Kaplan, R. Kunnawalkam Elayavalli, S. Kyriacou, A. Lath, K. Nash, M. Osherson, H. Saka, S. Salur, S. Schnetzer, D. Sheffield, S. Somalwar, R. Stone, S. Thomas, P. Thomassen, M. Walker

**University of Tennessee, Knoxville, USA**

A.G. Delannoy, M. Foerster, J. Heideman, G. Riley, K. Rose, S. Spanier, K. Thapa

**Texas A&M University, College Station, USA**

O. Bouhali<sup>72</sup>, A. Celik, M. Dalchenko, M. De Mattia, A. Delgado, S. Dildick, R. Eusebi, J. Gilmore, T. Huang, E. Juska, T. Kamon<sup>73</sup>, R. Mueller, Y. Pakhotin, R. Patel, A. Perloff, L. Perniè, D. Rathjens, A. Safonov, A. Tatarinov, K.A. Ulmer

**Texas Tech University, Lubbock, USA**

N. Akchurin, J. Damgov, F. De Guio, C. Dragoiu, P.R. Duderod, J. Faulkner, E. Gurpinar, S. Kunori, K. Lamichhane, S.W. Lee, T. Libeiro, T. Peltola, S. Undleeb, I. Volobouev, Z. Wang

**Vanderbilt University, Nashville, USA**

S. Greene, A. Gurrola, R. Janjam, W. Johns, C. Maguire, A. Melo, H. Ni, P. Sheldon, S. Tuo, J. Velkovska, Q. Xu

**University of Virginia, Charlottesville, USA**

M.W. Arenton, P. Barria, B. Cox, J. Goodell, R. Hirosky, A. Ledovskoy, H. Li, C. Neu, T. Sinthuprasith, X. Sun, Y. Wang, E. Wolfe, F. Xia

**Wayne State University, Detroit, USA**

C. Clarke, R. Harr, P.E. Karchin, J. Sturdy

**University of Wisconsin - Madison, Madison, WI, USA**

D.A. Belknap, J. Buchanan, C. Caillol, S. Dasu, L. Dodd, S. Duric, B. Gomber, M. Grothe, M. Herndon, A. Hervé, P. Klabbers, A. Lanaro, A. Levine, K. Long, R. Loveless, T. Perry, G.A. Pierro, G. Polese, T. Ruggles, A. Savin, N. Smith, W.H. Smith, D. Taylor, N. Woods

†: Deceased

- 1: Also at Vienna University of Technology, Vienna, Austria
- 2: Also at State Key Laboratory of Nuclear Physics and Technology, Peking University, Beijing, China
- 3: Also at Institut Pluridisciplinaire Hubert Curien (IPHC), Université de Strasbourg, CNRS/IN2P3, Strasbourg, France
- 4: Also at Universidade Estadual de Campinas, Campinas, Brazil
- 5: Also at Universidade Federal de Pelotas, Pelotas, Brazil
- 6: Also at Université Libre de Bruxelles, Bruxelles, Belgium
- 7: Also at Deutsches Elektronen-Synchrotron, Hamburg, Germany
- 8: Also at Joint Institute for Nuclear Research, Dubna, Russia
- 9: Also at Helwan University, Cairo, Egypt
- 10: Now at Zewail City of Science and Technology, Zewail, Egypt
- 11: Now at Fayoum University, El-Fayoum, Egypt
- 12: Also at British University in Egypt, Cairo, Egypt
- 13: Now at Ain Shams University, Cairo, Egypt
- 14: Also at Université de Haute Alsace, Mulhouse, France
- 15: Also at Skobeltsyn Institute of Nuclear Physics, Lomonosov Moscow State University, Moscow, Russia
- 16: Also at Tbilisi State University, Tbilisi, Georgia
- 17: Also at CERN, European Organization for Nuclear Research, Geneva, Switzerland
- 18: Also at RWTH Aachen University, III. Physikalisches Institut A, Aachen, Germany
- 19: Also at University of Hamburg, Hamburg, Germany
- 20: Also at Brandenburg University of Technology, Cottbus, Germany
- 21: Also at Institute of Nuclear Research ATOMKI, Debrecen, Hungary
- 22: Also at MTA-ELTE Lendület CMS Particle and Nuclear Physics Group, Eötvös Loránd University, Budapest, Hungary
- 23: Also at Institute of Physics, University of Debrecen, Debrecen, Hungary
- 24: Also at Indian Institute of Technology Bhubaneswar, Bhubaneswar, India
- 25: Also at University of Visva-Bharati, Santiniketan, India
- 26: Also at Indian Institute of Science Education and Research, Bhopal, India
- 27: Also at Institute of Physics, Bhubaneswar, India
- 28: Also at University of Ruhuna, Matara, Sri Lanka
- 29: Also at Isfahan University of Technology, Isfahan, Iran
- 30: Also at Yazd University, Yazd, Iran
- 31: Also at Plasma Physics Research Center, Science and Research Branch, Islamic Azad University, Tehran, Iran
- 32: Also at Università degli Studi di Siena, Siena, Italy
- 33: Also at Purdue University, West Lafayette, USA
- 34: Also at International Islamic University of Malaysia, Kuala Lumpur, Malaysia
- 35: Also at Malaysian Nuclear Agency, MOSTI, Kajang, Malaysia
- 36: Also at Consejo Nacional de Ciencia y Tecnología, Mexico city, Mexico
- 37: Also at Warsaw University of Technology, Institute of Electronic Systems, Warsaw, Poland
- 38: Also at Institute for Nuclear Research, Moscow, Russia
- 39: Now at National Research Nuclear University 'Moscow Engineering Physics Institute' (MEPhI), Moscow, Russia
- 40: Also at St. Petersburg State Polytechnical University, St. Petersburg, Russia
- 41: Also at University of Florida, Gainesville, USA
- 42: Also at P.N. Lebedev Physical Institute, Moscow, Russia

- 43: Also at California Institute of Technology, Pasadena, USA
- 44: Also at Budker Institute of Nuclear Physics, Novosibirsk, Russia
- 45: Also at Faculty of Physics, University of Belgrade, Belgrade, Serbia
- 46: Also at INFN Sezione di Roma; Università di Roma, Roma, Italy
- 47: Also at University of Belgrade, Faculty of Physics and Vinca Institute of Nuclear Sciences, Belgrade, Serbia
- 48: Also at Scuola Normale e Sezione dell'INFN, Pisa, Italy
- 49: Also at National and Kapodistrian University of Athens, Athens, Greece
- 50: Also at Riga Technical University, Riga, Latvia
- 51: Also at Institute for Theoretical and Experimental Physics, Moscow, Russia
- 52: Also at Albert Einstein Center for Fundamental Physics, Bern, Switzerland
- 53: Also at Adiyaman University, Adiyaman, Turkey
- 54: Also at Istanbul Aydin University, Istanbul, Turkey
- 55: Also at Mersin University, Mersin, Turkey
- 56: Also at Cag University, Mersin, Turkey
- 57: Also at Piri Reis University, Istanbul, Turkey
- 58: Also at Ozyegin University, Istanbul, Turkey
- 59: Also at Izmir Institute of Technology, Izmir, Turkey
- 60: Also at Marmara University, Istanbul, Turkey
- 61: Also at Kafkas University, Kars, Turkey
- 62: Also at Istanbul Bilgi University, Istanbul, Turkey
- 63: Also at Yildiz Technical University, Istanbul, Turkey
- 64: Also at Hacettepe University, Ankara, Turkey
- 65: Also at Rutherford Appleton Laboratory, Didcot, United Kingdom
- 66: Also at School of Physics and Astronomy, University of Southampton, Southampton, United Kingdom
- 67: Also at Instituto de Astrofísica de Canarias, La Laguna, Spain
- 68: Also at Utah Valley University, Orem, USA
- 69: Also at Argonne National Laboratory, Argonne, USA
- 70: Also at Erzincan University, Erzincan, Turkey
- 71: Also at Mimar Sinan University, Istanbul, Istanbul, Turkey
- 72: Also at Texas A&M University at Qatar, Doha, Qatar
- 73: Also at Kyungpook National University, Daegu, Korea